Army Regulation 5–5

Management

Army Studies and Analyses

Unclassified

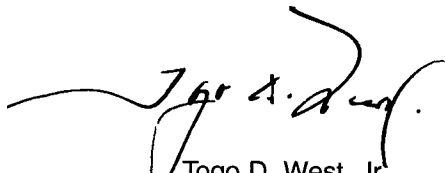# *SUMMARY of CHANGE*

AR 5-5
Army Studies and Analyses

This revision --

o Prescribes revised policies, guidance, and assigns new responsibilities for
   managing the Army Study Program (para 1-4).

o Establishes a system for study program management in the Army which ensures
   balance among resources and directs attention to critical Army issues (paras
   2-2, 2-3, 2-4, and 2-5).

o Provides guidance for planning, programming and budgeting for the Army Study
   Program (paras 3-2, 3-3, and 3-4).

o Prescribes policy for evaluation of the Army Study Program (paras 4-2, 4-3,
   and 4-4).

o Describes requirements for life cycle management of individual studies from
   initiation, validation, development and conduct, and evaluation to
   implementation through documenting and reporting (paras 5-2 through 5-9).

o Establishes policies and roles relating to the sponsorship of the Army
   Operations Research Symposium (paras 6-1 through 6-4).

Headquarters
Department of the Army
Washington, DC
30 June 1996

*Army Regulation 5–5

Effective 31 July 1996

Management

Army Studies and Analyses

Togo D. West, Jr.
Secretary of the Army

History. This printing publishes a revision of this publication. Because the publication has been extensively revised, the changed portions have not been highlighted.

Summary. This regulation prescribes policies and guidance and assigns responsibilities for managing the Army Study Program. It has been revised to incorporate the definition of studies, analyses, and evaluations included in Department of Defense (DOD) Directive 4205.2, Acquiring and Managing Contracted

Advisory and Assistance Services. This regulation also clarifies and updates guidance on the performance and evaluation of a study.

Applicability. This regulation applies to the Active Army, the U.S. Army Reserve (USAR) and the Army National Guard (ARNG) of the United States.

Proponent and exception authority. The proponent of this regulation is the Deputy Under Secretary of the Army (Operations Research) DUSA(OR). The proponent has the authority to approve exceptions to this regulation that are consistent with controlling law and regulation. Proponents may delegate this authority, in writing, to a division chief within the proponent agency in the grade of colonel or the civilian equivalent.

Army management control process. This regulation contains management control provisions but does not contain checklists for conducting management control reviews used to accomplish assessment of management controls.

Supplementation. Supplementation of this

regulation and establishment of command local forms are prohibited without prior approval from the DUSA(OR), ATTN: SAUS-OR, Washington, D.C. 20310-0102.

Interim changes. Interim changes to this regulation are not official unless they are authenticated by the Secretary of the Army. Users will destroy interim changes on their expiration dates unless sooner superseded or rescinded.

Suggested Improvements. Users are invited to send comments and suggested improvements on DA Form 2028, Recommended Changes to Publications and Blank Forms directly to the HQDA (SFUS-MIS), 1725 Jefferson Davis Highway Suite 808, Arlington, VA 22202-0102.

Distribution. Distribution of this publication is made in accordance with the requirements of Initial Distribution Number (IDN) 093500, intended for command levels C, D, and E for the Active Army and D and E for the Army National Guard and the U.S. Army Reserve.

Contents (Listed by paragraph and page number)

---

*This regulation supersedes AR 5-5, 15 October 1981.

Unclassified

Contents—Continued

Glossary

Index

Chapter 1
Introduction

1–1. Purpose
This regulation prescribes policies and guidance and assigns responsibilities for improving and maintaining the quality of Army studies, analyses, and evaluations, and using the resources for these efforts efficiently.

1–2. References
Required and related publications and prescribed and referenced forms are listed in Appendix A.

1–3. Explanation of abbreviations and terms
Abbreviations and special terms used in this regulation are explained in the glossary.

1–4. Responsibilities
a. The Deputy Under Secretary of the Army (Operations Research) (DUSA(OR)) will—

(1) Serve as Headquarters, Department of the Army (HQDA) proponent for the Army Study Program ensuring that the formulating of study policy and the setting of study priorities support current Army initiatives.

(2) Establish policy to guide the conduct and use of Army studies.

(3) Provide necessary input for Congressional testimony and responses to Congressional inquiries about studies and analyses within the scope of this regulation (see fig 3–1).

(4) Provide program direction for operations research and systems analysis activities of the Army.

(5) Approve contract study actions with a cumulative cost of $250,000 or more.

(6) Chair the Study Program Coordination Committee (SPCC) and the Senior Analyst Review.

b. Principal HQDA officials, Major Army Command (MACOM) commanders, directors, and agency heads within the Army will—

(1) Serve as proponents for all matters pertaining to the Army Study Program within their areas of responsibility.

(2) Implement and monitor study activities for field operating agencies, staff support agencies, and any other activities under their purview.

(3) Appoint a Study Program Coordinator to advise on matters relating to the Army Study Program activities and interface with the Study Program Management Office.

(4) Establish an organizational environment which promotes high quality and professional performance of studies.

c. The Director, U.S. Army Model Improvement and Study Management Agency (USAMISMA) will —

(1) Supervise the USAMISMA and provide direction to the Study Program Management Office.

(2) Promote liaison with the Office of the Secretary of Defense (OSD), Office of the Joint Chiefs of Staff (OJCS), Office, Chief of Staff Army (OCSA), other military departments, and civilian study organizations for matters involving Army study programs, activities, and Federally Funded Research and Development Centers (FFRDCs).

(3) Provide oversight for the Senior Analyst Review.

(4) Ensure integration of the Army Study Program and provide a focus for plans, evaluations, and reports, past, present and future.

(5) Foster close coordination between the Arroyo Center program and the planned Army Study Program for the upcoming fiscal year (FY) to avoid duplication and to ensure Army priority problems are appropriately addressed.

(6) In conjunction with the DUSA(OR) provide guidance and direction for conducting senior level conferences focusing on current or special interest topics to the Army and analytical community.

1–5. Overview
The Army Study Program provides an important mechanism through which problems pertaining to critical issues and other important matters are identified and explored to meet Army needs. This regulation encompasses program management of studies that provide organized analytic assessments and evaluations in support of policy development, decision-making, management, and administration and may be characterized by the application of the tools of operations research or systems analysis to Army problems. Hereafter in this regulation "Studies, analyses, and evaluations" will be referred to as "studies." Studies produce formal structured documents containing or leading to conclusions, findings or recommendations. Studies within the scope of this regulation should include, but not be limited by, the examples which are listed in appendix B. Also, studies may include models, methodologies, and related software supporting analyses or evaluations.

Chapter 2
Concept of Study Program Management in the Army

2–1. Study objectives
Studies are organized analytic assessments used to understand or evaluate complex issues. They are also used to improve policy development, decision-making, management, and administration. Efforts may involve the study of policy, strategy, tactics, concepts, operations, organizations, resource allocation, training forces, support of forces, and programs. The acquisition, test, and evaluation of weapons and other systems may additionally be study topics.

2–2. Program objectives
The objectives of the Army Study Program are to provide—

a. A mechanism to identify long and short-term study requirements for senior management and to develop plans for addressing those issues.

b. Proper allocation of resources among study requirements competing for those resources in accordance with plans which ensure—

(1) Balance among items, people, and systems.

(2) Attention to critical Army issues.

(3) Appropriate and equitable sharing of resources between near-term, mid-term, and long-term study issues.

c. A review and analysis of the performance of the Army Study Program considering balance, impact, and quality.

d. Sufficient program documentation and supporting budget data to meet information requirements of Army managers, the OSD, Office of Management and Budget (OMB), and the Congress.

e. Minimum administrative procedures and controls for good business practices consistent with the above objectives and Army regulations.

2–3. Policies
The Army Study Program policies are as follows:

a. Studies will be managed under a system of integrated control characterized by centralized guidance, review, monitoring, and reporting. Army Study Program development is decentralized.

b. Individual study efforts will be managed to ensure efficient and effective results or outcomes, cost control, implementation of results, and reporting in Army and DOD study information systems.

c. Studies will be conducted to provide useful and important input in the development of plans, programs, and budgets. Studies will be conducted only when there is a reasonable expectation of a significant contribution to decision-making policy, development, or cost savings.

d. The total dollar requirement for studies to be performed by contract will be reflected in the Program Objective Memorandum (POM)/Budget Estimate Submission (BES).

e. Contract studies will be conducted according to the provisions of the Federal Acquisition Regulation (FAR), Defense Federal Acquisition Regulation Supplement (DFARS), Army Federal Acquisition Regulation Supplement (AFARS) and AR 5–14.

f. Studies should not unnecessarily duplicate other analytical work but may, in some cases, build on other work done in the same

subject area. A literature search before beginning a study will provide valuable information on potential duplication of effort.

g. Studies should be performed with state-of-the-art technologies. Analysts should remain current in training. Modern analytical tools and methodologies should be available for their use.

h. Study information and data will be collected, evaluated, and provided to Government agencies and to the public, when appropriate.

2–4. Resources
Studies performed under this regulation may use resources budgeted from most Army appropriations as explained in Chapter 3.

2–5. Performing organizations
Studies are performed by, or with assistance from—
a. Specially formed ad hoc task forces.
b. Organizational staff personnel.
c. In-house Army study and analysis organizations.
d. Appointed or contracted consultants or experts.
e. Commercial research organizations.
f. Non-profit organizations.
g. Federally Funded Research and Development Centers.

2–6. The Study Program Coordination Committee (SPCC)
Oversight of the Army Study Program at the top level will be provided by the SPCC. It shall—
a. Be chaired by the DUSA(OR).
b. Consist of General Officers or Senior Executive Service Level Representatives from the office of the—
(1) Assistant Secretary of the Army (Research, Development and Acquisition) ASA(RD&A)
(2) Assistant Secretary of the Army (Financial Management and Comptroller) ASA(FM&C)
(3) Assistant Secretary of the Army (Manpower and Reserve Affairs) ASA(M&RA)
(4) Director of Information Systems for Command, Control, Communications and Computers (DISC4)
(5) Director, Program Analysis and Evaluation (PA&E)
(6) Deputy Chief of Staff for Operations and Plans (DCSOPS)
(7) Deputy Chief of Staff for Personnel (DCSPER)
(8) Deputy Chief of Staff for Logistics (DCSLOG)
(9) Deputy Chief of Staff for Intelligence (DCSINT)
(10) Chief of Engineers (COE)
(11) Deputy Under Secretary of the Army (International Affairs)
(12) U.S. Army National Guard (ARNG)
(13) U.S. Army Reserve (USAR)
(14) U.S. Army Concepts Analysis Agency (CAA)
(15) U.S. Army Operational Test and Evaluation Command (OPTEC)
(16) U.S. Army Information Systems Command (ISC)
(17) U.S. Army Training and Doctrine Command (TRADOC)
(18) U.S. Army Materiel Command (AMC)
(19) U.S. Army Space and Strategic Defense Command (SSDC)
(20) Army Research Institute (ARI)
c. When appropriate, extend invitations to equivalent representatives from other MACOMs and subordinate commands.
d. Invite Directors responsible for planning and analysis in the Office of the Chief of Chaplains (OCCH), the Office of the Surgeon General(OTSG) and the Office of the Judge Advocate General (OTJAG) to serve as members, when the committee addresses matters in their respective areas of interest or responsibility.
e. Obtain, through the Army Study Program Management Office, study and resource information required for committee actions.
f. Review, coordinate, and assess the objectives, priorities, focus, balance, and resources for organizations and activities within the Army Study Program.
g. Review and coordinate requests to fund high priority and unprogrammed studies. Recommend adjustments in the Army Study Program.
h. Meet annually during the last quarter of the FY to review and approve the proposed Army Study Program Plan for the upcoming FY and at the call of the chair to resolve any major issues (see fig 3–1).

2–7. Coordination
The Army Study Program Management Office will ensure that Army organizations have access to a broad array of in-house and contract analytical resources. The Army Study Program Management Office (SPMO) will coordinate the Army Study Program plan and the Arroyo Center program. Additionally, the SPMO will promote coordination of studies with other DOD organizations to make maximum use of resources already available, as well as to leverage ongoing efforts, within the DOD.

Chapter 3
Army Study Program Planning, Programming, and Budgeting

3–1. Study Processes
This chapter prescribes planning, programming, and budgeting guidance for the Army Study Program. The Army Study Program is developed and executed in a series of processes designed to ensure that Army needs are met and resources are used effectively. These activities are depicted in figure 3–1. The major annual program development events are keyed by letters.

3–2. Planning
a. Planning for the program begins when the Study Program Management Office publishes The Army Study Program Guidance (G, fig 3–1). This guidance establishes a base for commanders, agency heads, and study sponsors to allocate analysis resources and prepare a coordinated, responsive and executable program. The Army Study Program Guidance is based on OSD and Army guidance, goals, and objectives, problems identified in Commanders' conferences and mission area analyses, and on results of previous studies. It describes in detail the Army Study Program's critical study issues for the upcoming fiscal year.

b. As a starting point, the Study Program Management Office also provides an electronic list of on-going projects from previous years.

c. Study Program Coordinators use The Army Study Program Guidance together with specific internal organization guidance and requirements initiated by their organization to begin planning their portion of the upcoming Army Study Program and to establish priorities among individual study proposals (I, fig 3–1).

d. Study Program Coordinators together with their study sponsors should coordinate with other agencies and MACOMs to determine what studies have already been completed, are underway, or are planned, and what substantive gaps remain to be addressed by studies.

3–3. Programming
a. Each Study Program Coordinator will develop his or her organization's prioritized portion of the draft Army Study Program. This information will be forwarded electronically to the Study Program Management Office through the Army Information on Models, Simulations, and Studies System (AIMSSS). (See app C for further information on AIMSSS)(J, fig 3–1.)

b. Personnel in the Study Program Management Office will review submissions to (L, fig 3–1)—
(1) Verify proper integration of the program.
(2) Confirm responsiveness to program guidance.
(3) Ensure the validity of proposed studies.
(4) Prevent unnecessary duplication.
(5) Evaluate the planned performance methods.
(6) Establish a coordinated and executable program.
c. Where appropriate, the Study Program Management Office

personnel will forward proposals for contract studies to Army analysis agencies to determine whether in-house capability exists to perform them. These agencies may include, but are not limited to CAA, TRADOC Analysis Center (TRAC), and the U.S. Army Materiel Systems Analysis Activity (AMSAA).

d. The Study Program Management Office personnel will also ensure proper coordination with the proposed projects for the Rand-Arroyo Center (K, fig 3–1).

e. Organizations may be required to modify their portion of the draft Army Study Program Fiscal Year Report based on guidance from the Study Program Management Office prior to the annual SPCC meeting.

f. After review and approval by the SPCC, studies will be resourced as funds and personnel become available (A, fig 3–1). The Study Program Management Office (E, fig 3–1) will coordinate a review of the current year program during the second quarter of the FY. If necessary, the study program coordinators will recommend to the SPCC adjustments to accommodate changes in funding levels or initiation of out-of-cycle requests. The program will be executed according to the revised plan until the financial closeout in September (N, fig 3–1).

g. The Army Study Program Fiscal Year Report, is published by the Study Program Management Office (C, fig 3–1), is distributed Army-wide, and lists all programmed studies covered in this regulation which are to be conducted by the Army during the ensuing year. Studies contained in The Army Study Program Fiscal Year Report have been approved by the SPCC.

h. For studies initiated after approval of the Army Study Program by the SPCC, the following procedures apply:

(1) For unprogrammed HQDA studies, the Study Program Management Office will negotiate with HQDA Study Program Coordinators to revise study priorities for recommendation to the SPCC. If a MACOM is to conduct a study which does not normally fall within that MACOM's mission, the Study Program Management Office will coordinate and resolve resource issues as necessary.

(2) Organizations wishing to initiate an out-of-cycle funding request will submit their request through their study program coordinator to the Study Program Management Office for coordination and review. Each request will be reviewed on a case-by-case basis. When appropriate, the Chief of the Study Program Management Office will notify the members of the SPCC about the change to the approved Army Study Program.

3–4. Budgeting

a. HQDA and MACOMs develop budgets for study activities and report them as part of their POM/BES submissions. Instructions are provided through regular budget channels.

b. The MACOM budget requests for contract studies funds are reviewed by the Study Program Management Office for conformity with budget guidance. They are used to develop required budget exhibits and forwarded to the Assistant Secretary of the Army (Financial Management and Comptroller) ATTN: Army Budget Office (ABO), 109 Army Pentagon, Washington, DC 20310–0109 for incorporation in The Army Budget.

c. Those contract studies which support research and development activities (such as research, technology exploration and development, systems and equipment analyses, and development efforts) including development and test of initial tactics and doctrine, should be budgeted with Research, Development, Test and Evaluation (RDT&E) funds. In those cases where a clear determination based on the above is not possible, then the guideline will be to attempt to fund such studies and analyses in RDT&E if the sponsoring organization is a part of the Research and Development (R&D) community. In instances where a materiel system has reached the procurement stage and contract studies are required, funding is authorized from procurement funds. The study must be directly related to a specific item of equipment for which procurement funds use is designated. All other contract studies will be budgeted in the Operation and Maintenance appropriations.

d. In-house studies are budgeted in the appropriation which finances the study performing organization.

e. Fund requirements for automatic data processing (ADP) services, except those that directly support and are a minor component of studies, are included in the organization's ADP budget submission, and are not included in the Army Study Program.

f. Fund requirements for temporary duty (TDY) in support of studies are included in the organization's travel budget submission, and are not included in the Army Study Program.

Figure 3-1A. Army Study Program Process

Figure 3-1A. Army Study Program Process

PROGRAM PROCESS

APR	MAY	JUN	JUL	AUG	SEP
DEVELOP UPCOMING YEAR STUDY PROGRAM — I	SUBMIT PROPOSED STUDY PROGRAM — J	SPMO REVIEWS SUBMISSIONS AGAINST STUDY PROGRAM GUIDANCE — L		SPCC APPROVES STUDY PROGRAM FOR UPCOMING YEAR — M	CLOSE OUT CURRENT YEAR STUDY PROGRAM — N
		COORDINATE WITH RAND ARROYO CENTER — K			

Figure 3-1B. Army Study Program Process--Continued

Chapter 4
Army Study Program Evaluation

4–1. Requirements and procedures
To ensure the objectives of the Army Study Program as stated in paragraph 2–2 are met, this chapter prescribes evaluation requirements and procedures for HQDA agencies and MACOMs.

4–2. HQDA agencies and MACOM program evaluation
a. Each agency and MACOM that develops a study program must prepare and forward to the Study Program Management Office an annual evaluation of their program during the FY. At a minimum, this evaluation will describe the results and impact of the previous fiscal year's studies and include, where possible, a quantification of benefits to the Army from implementing the study recommendations. This information will be used as the basis for the annual evaluation of the Army Study Program.

b. The Study Program Management Office will request the evaluations from HQDA agencies and MACOM by issuing a SPCC memo to the study program coordinators. This request will provide a detailed format for submissions and identify any specific information required beyond that stated above.

4–3. Army Study Program evaluation
An annual evaluation of the results and uses of the studies is prepared at the Army Study Program Management Office (D, fig 3–1) and reported for all projects completed during the FY. This evaluation uses the HQDA agency and MACOM evaluations to develop a descriptive evaluation of the impact of the preceding fiscal year's Army Study Program. This is conducted to provide guidance, identify areas for improvement, maintain continuity, and provide senior Army leaders with an assessment of the return on investment in study resources.

4–4. Additional forms of evaluation
In addition to the written evaluation prepared annually, the Study Program Management Office sponsors the following initiatives:

a. Independent evaluations of analysis agencies, through a process commonly known as a peer review, are conducted to examine the credibility, quality, and timeliness of the work performed. The results are provided to the DUSA(OR), who shares the results with the agency director. Information of a general nature from several peer reviews is consolidated and distributed to provide lessons learned in conducting Army studies.

b. The Army Study Highlights is prepared annually and is designed to give recognition to well-performed studies, acknowledge outstanding efforts of individual analysts, and encourage excellence in Army analysis (H, fig 3–1).

c. The Dr. Wilbur Payne Award for Excellence in Analysis is presented annually during the Army Operations Research Symposium. This award is given in two forms, one to acknowledge the best group analysis conducted during the previous 12 months by Army analysts and one to acknowledge the best individual analysis during the same period. A panel of senior Government analysts using objective criteria recommends selectees to the DUSA(OR).

Chapter 5
Life Cycle Management of Individual Studies

5–1. Individual efforts
This chapter prescribes the requirements for managing the life cycle of individual efforts included in the Army Study Program. Specific guidance to assist study sponsors (SSs), sponsor's study directors (SSDs), study advisory groups (SAGs), and contracting officer representatives (CORs) is in DA Pam 5–5, Guidance for Army Study Sponsors, Sponsor's Study Directors, Study Advisory Groups, and Contracting Officer Representatives.

5–2. Role of the study sponsor
a. The SS is the head of an HQDA organization or commander of a MACOM which is sponsoring a study. The SS validates the need for the study and provides management oversight of the study effort.

b. The SS's overall objectives are—
(1) To achieve the best product consistent with resources expended.
(2) To ensure that the study results fulfill the Army's requirements.
(3) To ensure that study results are implemented on a timely basis.

c. The SS oversees certain actions during each study phase as described in paragraph 5–4 through the remainder of this chapter.

5–3. Role of the sponsor's study director
a. The SSD is generally a member of the study sponsor's organization. The SSD is appointed by the SS and should be at least at the officer 0–4 or civilian GS–13 level.

b. The SSD's overall objectives are—
(1) To ensure study objectives are met.
(2) To represent the SS in establishing the requirement for the study.
(3) To provide technical direction for the SS, to the organization performing the study, and guidance to the SAG and COR.

c. The SSD performs actions during each phase of the study effort as described in paragraph 5–4 through the remainder of the chapter.

5–4. Initiation
a. The primary objective of the initiation phase is to decide if the study is needed. This must be accomplished during the HQDA agency and MACOM program development process to avoid including studies which are not necessary and have no resources.

b. The SS will—
(1) Establish a need for the study, relating planned results to solutions of Army problems.
(2) Appoint an SSD for the study.
(3) Organize a SAG, if required, and convene the SAG early enough to assist in review of the study concept paper and other study documentation.
(4) Identify the milestone decision being supported, if the study supports the materiel acquisition program.

c. The SSD will—
(1) Verify the requirement for the effort. This may involve coordination with other agencies or commands, and should involve conducting a preliminary literature search.
(2) Define the problem and scope in clear, unambiguous terms.
(3) Determine a manageable number of valid objectives.
(4) Identify the use and users of the anticipated results.
(5) Determine when the study results are needed, end product desired, and potential uses of the product.
(6) Determine if the study should be accomplished in-house or by contract.
(7) Arrange an appropriate schedule of meetings with the sponsor to provide information on the study progress as required.
(8) Create a file of pertinent study reference papers and documentation as described in DA Pam 5–5, Chapter 3.

5–5. Validation
a. This phase establishes the need for the study before actual work begins. Studies may be conducted either under contract or as an in-house effort.

b. The SS will—
(1) For studies to be conducted by a Government organization, approve the initiation directive or other suitable management approval document.
(2) For contract studies:
(a) Approve the management decision document (MDD) and the

statement of work (SOW) (see AR 5–14 for examples of both documents).

(b) Forward MDD for studies over $250,000 through the Study Program Management Office for approval by the DUSA(OR).

(c) Nominate a COR.

c. The SSD will—

(1) Justify the study by identifying potential uses for anticipated study results.

(2) Estimate the benefits, costs, and risks associated with conducting the effort and refrain from proceeding if the benefits do not justify the costs and risks.

(3) Conduct a literature search to ensure that a valid requirement for the effort exists and that there is no unnecessary duplication. This literature search is required for all studies and analyses regardless of whether they are to be performed using contractor support or in-house resources. As a minimum, the literature search should include the Defense Technical Information Center (DTIC) and the AIMSSS. For logistics studies, a search of Defense Logistics Studies Information Exchange (DLSIE) is mandatory. (Addresses for these and other places to perform a literature search can be found in app C.)

(4) Ensure that study objectives are met and proper documentation is prepared.

(5) Follow the procedures in AR 5–14, paragraph 4–3 for contract studies with a cumulative cost of $250,000 or more. Such requests will be submitted through the Study Program Management Office for approval by the DUSA(OR) and include a MDD, a SOW, an independent Government cost estimate (IGCE), and a justification for other than full and open competition, if applicable. Additionally, procedures for contract studies will comply with all applicable provisions of the FAR and the Army Supplements to the FAR and current Army procurement policy.

(6) For in-house studies, prepare a study directive or tasker. See DA Pam 5–5 for a sample study directive. Where a study directive is inappropriate (for example, when a study is initiated by a performing organization), another suitable management approval document may be used, such as a study plan which has been reviewed and approved by the commander or manager of the sponsoring agency.

(7) Obtain appropriate management approval for the study.

5–6. Development and conduct

a. This phase begins when the study organization actually initiates the work and ends when the sponsor approves the final study report or terminates the study effort.

b. The SS will—

(1) Monitor study progress through formal progress reviews and informal discussions with the SSD.

(2) Review and approve all SAG meeting minutes.

(3) Request termination of the study contract before the scheduled completion date when appropriate.

c. The SSD will—

(1) Ensure procedures in AR 5–14, paragraph 4–4, are followed if the study is performed using a contract.

(2) Develop a viable study plan and monitor the study progress through frequent contact with the performing organization. Any modifications to the study plan must be necessary, related to the study effort, and should be developed jointly by the sponsor and study organization. Only the contracting officer may approve substantial changes to a contract. Substantial changes are those which would change the focus of the effort. A copy of the approved changes will be submitted to the Study Program Management Office to ensure that the program accurately reflects work being performed by, or for, the Army.

(3) If necessary, chair the SAG and provide advice, assistance, and direction to organization performing the study.

(4) Present a study plan to the SS for review and approval, to ensure that the objectives of the study sponsor are addressed.

5–7. Evaluation

a. This phase follows completion of a study to inform the sponsor of how well desired objectives were met.

b. The SS will—

(1) Approve findings and recommendations of the study.

(2) Review and approve the evaluation of the results of the study prepared for inclusion in the DTIC Work Unit Information System Worksheet (WUIS).

c. The SSD will—

(1) Provide a written evaluation of the results of each study (see app D for format) within 30 days after implementation of the study results or within 6 months after completion, which ever occurs first. This evaluation may include a technical assessment of the study methods and procedures used to conduct the study. This evaluation forms the basis for HQDA agency and MACOM evaluations of their annual study program and the Army Study Program Evaluation. Copies of the evaluation will be submitted to the SS, the study performer, and the Study Program Management Office. Evaluations submitted to the Study Program Management Office will also be used to select studies for consideration and inclusion into the Army Study Highlights.

(2) Evaluate the completed study and include comments on the DTIC WUIS Worksheet.

(3) Determine the extent to which study objectives have been achieved.

(4) Follow the procedures in AR 5–14, paragraph 4–5c for additional management evaluation guidance for a contract study.

5–8. Implementation

a. This phase usually begins after the study ends. However, selected emerging results of a study may be implemented immediately while the study is in progress.

b. The SS will—

(1) Evaluate the results of each study and determine which results should be implemented.

(2) Develop an implementation plan and monitor study progress through completion.

c. The SSD will—

(1) Submit study findings and recommendations to sponsor for approval.

(2) Validate or revise implementation plan.

(3) Coordinate execution of implementation plan and ensure that appropriate follow-up actions are taken.

5–9. Documenting and reporting

The following activities are conducted before, during, and after completion of an individual study under the direct supervision of the SSD.

a. Information reports. The SSD prepares the WUIS Worksheet and provides it to DTIC. The WUIS Worksheet is submitted throughout the study life cycle as follows:

(1) *Initiation.* Submit within 15 days following initiation of the study, and update annually until the study is completed or terminated.

(2) *Interim.* Submit after any major changes, such as, funding, principal personnel changes or any substantial changes in text.

(3) *Termination.* Submit within 15 days following cancellation or suspension of a study which continued more than 3 months.

(4) *Completion.* Submit within 30 days following completion of a study.

(5) *Evaluation.* Submit within 30 days after implementation of study results or within 6 months after completion date, whichever occurs first. WUIS Worksheets may be submitted to DTIC on a floppy disk through the Army's Work Unit Input System (WInS) or in hard copy to the Army Scientific and Technical Information Program Office. Instructions on completing WUIS Worksheets and information on WInS software can also be obtained from the Army Research Laboratory, ATTN: AMSRL-TT-TA, 2800 Powder Mill Road, Adelphi, MD 20783–1197. If the study topic includes logistics, a copy of the WUIS Worksheet is also forwarded to the DLSIE.

b. Study documents. The SSD prepares and manages study documents for both contract and in-house studies. Synopses of studies are reported to the HQDA or MACOM Study Program Coordinators to ensure current information is maintained in AIMSSS (see para 3–3b). For a contract study, the SSD should follow the guidance of AR 5–14, paragraph 4–6b. For studies performed in-house, the SSD ensures that the following requirements are addressed.

(1) The agency performing the study oversees the preparation, review, publication, and distribution of documents in accordance with AR 70–31. This function also involves maintaining proper security measures as found in AR 380–5.

(2) Personal data collected or assessed during the effort must be managed according to the Privacy Act of 1974 (5 U.S.C. 552a), as implemented in AR 340–21.

(3) Freedom of Information Act (FOIA) requests must be responded to according to the FOIA (5 U.S.C. 522(b)). Only the Initial Denial Authority (as prescribed by the FOIA) may deny information requested under the FOIA.

(4) Release of documents produced by an in-house study is approved by the controlling authority (usually the SSD).

(5) Disseminating information and materials produced by studies to all interested parties is consistent with security classification and proprietary information under the FOIA and with the Privacy Act. However, if a FOIA request is made for release of emerging results, but release would significantly impair Army performance of missions or cause confusion or misunderstanding about Army goals or policies, the information should be withheld under the FOIA and AR 25–55 by the appropriate Initial Denial Authority, until the effort has been completed and release has been allowed by the controlling authority.

(6) A cover page is prepared for each document, identifying as a minimum the sponsoring organization (including office identification and location), the responsible person within the organization and a disclaimer statement, such as—"The views, opinions, and findings in this document are those of the author(s) and should not be construed as official Department of the Army position, policy, or decision, unless so designated by other official documentation."

c. Final reports. The SSD will submit—

(1) Two copies of each final report, together with completed Standard Form (SF) 298 (Report Documentation Page), to Commander, Defense Technical Information Center, 8725 John J. Kingman Road, Suite 0944, Fort Belvoir, VA 22060–6218.

(2) One copy of each final report to the Pentagon Library, ATTN: JDHQ-L (Army Studies), Room 1A518, 6605 Army Pentagon, WASH DC 20310–6605.

(3) For logistics studies, two copies to DLSIE (address found in app C).

Chapter 6
Army Operations Research Symposium

6–1. Sponsorship
This chapter prescribes policies and roles concerning the sponsorship of an Army Operations Research Symposium (AORS).

6–2. Policy
a. The AORS is formally established as an annual event (B, fig 3–1.

b. The AORS is designed to foster communication, exchange information, and recognize high-quality work within the Army analytical community. Reports of new work are presented to the assembled analytical community and senior analysts provide critiques of these works.

6–3. Roles
a. The DCSOPS oversees all arrangements for AORS. The DCSOPS will designate the annual sponsor and furnish guidance and information to assist the sponsor in conducting the symposium.

HQDA will program funds annually to defray administrative expenses.

b. Sponsorship for the annual symposium will rotate among AMC, TRADOC, and analytical activities of HQDA (such as CAA and OPTEC).

c. The designated symposium sponsor will develop a program consistent with furnished guidance, select the times and place for the symposium, and provide administrative and support requirements for all attendees. The sponsor will determine, in coordination with the Office of the DCSINT, if proposed actions conform with the national disclosure policy set forth in AR 380–10.

6–4. Coordination
Army participants are authorized to coordinate directly with other activities involved in this symposium.

Appendix A
References

Section I
Required Publications

AR 5–14
Management of Contracted Advisory and Assistance Services (Cited in paras 2–3e, 5–5b(2), 5–5c(5), 5–6c(1), 5–7b(4), 5–9b.)

AR 25–55
The Department of the Army Freedom of Information Act (Cited in para 5–9b(5).)

AR 70–31
Standards for Technical Reporting (Cited in para 5–9b(1).)

AR 340–21
The Army Privacy Program (Cited in para 5–9b(2).)

AR 380–5
Department of the Army Information Security Program (Cited in para 5–2.)

AR 380–10
Active Technology Transfer, Disclosure of Information and Contacts with Foreign Representatives (Cited in para 6–3(c).)

DA Pam 5–5
Guidance for Army Study Sponsors, Sponsor's Study Directors, Study Advisory Groups, and Contracting Officer Representatives (Cited in paras 5–1, 5–5c(6).)

Section II
Related Publications
A related publication is merely a source of additional information. The user does not have to read it to understand this publication.

AR 5–4
Department of the Army Productivity Improvement Program

AR 5–21
Army Policies and Responsibilities for the Arroyo Center

AR 10–5
Organization and Functions, Headquarters, Department of the Army

AR 11–2
Management Control

AR 11–37
Army Finance and Accounting Quality Assurance Program

AR 18–22
Army Inventory of Data Systems

AR 20–1
Inspector General Activities and Procedures

AR 25–1
The Army Information Resources Management Program

AR 36–5
Auditing Service in the Department of the Army

AR 37–100
Account/Code Structure

AR 50–4
Safety Studies and Reviews of Nuclear Weapon Systems

AR 50–6
Nuclear and Chemical Weapons and Material, Chemical Surety

AR 55–80
Highways for National Defense

AR 70–1
Army Acquisition Policy

AR 70–8
Soldier-Oriented Research and Development in Personnel and Training

AR 70–44
DOD Engineering for Transportability

AR 71–9
Materiel Objectives and Requirements

AR 380–19
Information Systems Security

AR 381–11
Threat Support to U.S. Army Force, Combat, and Materiel Development

AR 381–19
Intelligence Dissemination and Production Support

AR 385–10
Army Safety Program

AR 570–5
Manpower Staffing Standards System

AR 600–46
Attitude and Opinion Survey Program

AR 602–1
Human Factors Engineering Program

AR 611–3
Army Occupational Survey Program

DOD 3200–12–M–1
Research and Technology Work Unit Information System Manual

DOD 4205.2
Acquiring and Managing Contracted Advising and Assistance Services

Section III
Prescribed Forms
This section contains no entries.

Section IV
Referenced Forms

DOD Form 350
Individual Contracting Action Report

SF Form 298
Report Documentation Page

Appendix B
Examples of Study and Non-Study Efforts

B–1. Study efforts
   a. Cost, benefit, or effectiveness analyses of concepts, plans,

training, tactics, forces, systems, policies, personnel management methods, and policies or programs.

b. Cost and operational effectiveness analyses (COEA) (AR 71–9).

c. Technology assessments and management and operations research studies in support of RDTE objectives.

d. Evaluation of foreign force and equipment capabilities, foreign threats, net assessments, and geopolitical subjects.

e. Evaluations of organizational structure, administrative policies, procedures, methods, systems, and distribution of functions.

f. Research and development of databases, models, and methodologies for accomplishing specific studies and analyses.

g. Analyses of materiel, personnel, logistics, and management systems.

h. Studies to establish materiel requirements.

i. Studies in support of operational testing.

j. Studies performed by in-house Army (military and civilian) personnel requiring less than one-half professional staff year (PSY) that make a significant contribution to a body of knowledge, advance understanding of a phenomenon or process, serve as a building block for future efforts, or may be adapted to other functional areas, missions, or applications.

B–2. Non-study effort
These efforts are generally excluded because of other policies in place which provide sufficient oversight and control to accomplish the goals of this regulation.

a. Advanced engineering development in support of specific RDTE programs for materiel systems acquisition policy (AR 70–1) and analytical efforts integral to these programs.

b. Army Occupational Survey Program (AR 611–3).

c. Audits (AR 36–5).

d. Chemical surety program (AR 50–6).

e. DA Productivity Improvement Program (DAPP) (AR 5–4).

f. Development and modification of automatic data processing systems which support other than study and analysis activities in the information resources management program (AR 25–1).

g. Development test, operational test, and user test (AR 71– 3).

h. Human Factors Engineering Program (AR 602–1).

i. Inspector General inspections (AR 20–1).

j. Internal reviews (AR 11–2).

k. Nuclear safety studies (AR 50–4).

l. Recurring Army attitudinal and opinion surveys (AR 600–46).

m. Recurring economic and cost analyses in support of mission objectives (AR 11–18).

n. Research and exploratory developments funded in 6.1 and 6.2 RDTE program categories.

o. Routine engineering analyses of manufacturing methods.

p. Security investigations (AR 380–5).

q. Soldier Oriented Research Development Personnel Training Program (AR 70–8).

r. Studies performed by in-house Army (military and civilian) personnel requiring less than one-half PSY, unless they make a significant contribution to a body of knowledge, advance understanding of a phenomenon or process, serve as building block for future efforts, or may be adapted to other functional areas, missions, or applications.

s. Studies performed by the Arroyo Center and approved under the auspices of AR 5–21.

t. The Army Safety Program (AR 385 series).

u. Transportability analyses (AR 70–44).

v. Transportation and travel (AR 55–80).

B–3. Considerations for applicability of AR 5–5 and AR 25–1 requirements
a. Efforts which have the primary objective of developing, improving, or modifying a computerized model or game to be used solely to support study projects are within the scope of AR 5–5. Such efforts will be managed in accordance with AR 5–5 and reported in accordance with AR 5–11. The acquisition of automatic

data processing hardware, software, and related information mission area initiatives will be according to AR–25– series and DA Pamphlet 25–series regulation and guidance as appropriate.

b. Software development and modification activities will use appropriate Army automation technical procedures in the DA Pamphlet 25–series and the requirements in AR 380–19.

Appendix C
Literature Search Sources

C–1. Principal literature sources
a. Defense Technical Information Center, 8725 John J. Kingman Road, Suite 0944, Fort Belvoir, VA 22060–6218. Commercial (COM) (703) 767–8274; Defense Switched Network (DSN) 761–8274.

b. Defense Logistics Studies Information Exchange, Ft. Lee, VA 23801–6043, COM (804) 765–4007; DSN 539–4007.

c. Army Information on Models, Simulations, and Studies System, USAMISMA, ATTN: SFUS-MIS, Suite 808, Crystal Square 2, 1725 Jefferson Davis Highway, Arlington, VA 22202, COM (703) 607–3383; DSN 327–3383.

C–2. Additional sources
Additional sources which may be consulted include—

a. The Pentagon Library, Room 1A518, Pentagon, Washington, DC 20310, COM (703) 697–4301; DSN 227–4301.

b. Independent Research and Development Library, Redstone Arsenal, AL 35809, COM (205) 876–4684; DSN 746–4684.

c. U.S. Army Audit Agency, 3101 Park Center Drive, Alexandria, VA 22302–1596, COM (703) 681–9812; DSN 761–9812.

d. General Accounting Office, Attn: Reports and Publications, Room 4522, 441 G Street NW, Washington, DC 20548, COM (202) 512–6000.

e. National Technical Information Service, 5285 Port Royal Road, Springfield, VA 22161, COM (703) 487–4780.

f. Combined Arms Research Library, Eisenhower Hall, 250 Gibbons Avenue, Fort Leavenworth, KS 66027–2314, COM (913) 758–3033; DSN 720–3033.

g. Libraries of DOD and joint staff service schools.

Appendix D
Study Evaluation Format
This format may be used for the evaluation the sponsor's study director writes after study implementation. See chapter 5.

D–1. Purpose
State the purpose of the effort.

D–2. Chronology
Provide the milestone dates and summary of actions accomplished.

D–3. Basic information
Provide the following information:

a. Requiring Activity.

b. SSD and/or COR—name and organization.

c. In-House/Contract Performer—organization name and address, POC name, and telephone number.

d. Contracting officer—name and organization (if necessary).

e. In-House/Contract—

(1) Start date.

(2) Date completed or terminated.

(3) Final total PSY/cost.

D–4. Major problems encountered
List.

D–5. Major achievements

List.

D–6. Results

List the results. Describe the benefits to the Army from having conducted the effort. In general, the value received from the expenditure of resources may be judged by the benefits derived from the effort. Therefore, special care must be taken to describe the present and anticipated benefits. When possible, cost savings or cost avoidances accruing to the Army should be addressed. If definitive cost data cannot be used, well-thought-out quantitative or qualitative measures should be used to describe the benefits. Such benefits should be expressed in simple language easily understood by nontechnical personnel.

D–7. Evaluation

a. In-House/Contract Performer—

(1) Performance.

(2) Product.

b. Overall management of effort by Army.

D–8. Lessons learned

List.

D–9. Implementation of results

Provide the names of the agencies or commands implementing the results, the implementation dates, principal milestones, and the action accomplished or products to be provided or published.

D–10. Information reports

Date final Work Unit Information System Worksheet for studies, analyses, and evaluations (SAEs) was submitted to DTIC.

D–11. Final report

Date copy of final report with Standard Form 298 (Report Documentation Page) for SAEs was submitted to DTIC, and DTIC accession number of the report.

Glossary

Section I
Abbreviations

ADP
Automatic Data Processing

AFAR
Army Federal Acquisition Regulation Supplement

AMC
United States Army Materiel Command

AMSAA
United States Army Materiel Systems Analysis Agency

ARI
Army Research Institute

ARNG
Army National Guard

ASA(FM&C)
Assistant Secretary of the Army (Financial Management and Comptroller)

ASA(M&RA)
Assistant Secretary of the Army (Manpower and Reserve Affairs)

ASA(RDA)
Assistant Secretary of the Army (Research, Development and Acquisition)

BES
Budget estimate submission

CA
commercial activities

CAA
United States Army Concepts Analysis Agency

COB
Command Operating Budget

COE
Chief of Engineers

COEA
Cost and Operational Effectiveness Analyses

COR
Contracting Officer's Representative

DA
Department of the Army

DCSINT
Deputy Chief of Staff for Intelligence

DCSLOG
Deputy Chief of Staff for Logistics

DCSOPS
Deputy Chief of Staff for Operations and Plans

DCSPER
Deputy Chief of Staff for Personnel

DFARS
Defense Federal Acquisition Regulation Supplement

DISC4
Director of Information Systems for Command, Control, Communications, and Computers

DOD
Department of Defense

DSN
Defense Switched Network

DTIC
Defense Technical Information Center

DUSA(OR)
Deputy Under Secretary of the Army (Operations Research)

FAR
Federal Acquisition Regulation

FOA
Field Operating Agency

FOIA
Freedom of Information Act

HQDA
Headquarters, Department of the Army

IGCE
Independent Government Cost Estimate

IMA
Information Management Area

ISC
United States Army Information Systems Command

MACOM
major Army command

MADP
Mission Area Development Plan

OCCH
Office of the Chief of Chaplains

OJCS
Office of the Joint Chiefs of Staff

OMB
Office of Management and Budget

OPTEC
United States Army Operational Test and Evaluation Command

OSD
Office of the Secretary of Defense

OTJAG
Office of the Judge Advocate General

OTSG
Office of The Surgeon General

PA&E
Program Analysis and Evaluation

POC
Point of Contact

POM
Program objective memorandum

PPBES
Planning, Programming, Budgeting, and Executing System

RDT&E
Research, Development, Test and Evaluation

SAG
Studies Advisory Group

SOW
statement of work

TDY
Temporary Duty

TRADOC
United States Army Training and Doctrine Command

USAR
United States Army Reserve

USC
United States Code

Section II
Terms

Army Study System
A series of interrelated events, organizations, and resources which provide study and analysis support to the Army.

Contract study
A study performed through a contract. Contract studies are not conducted as isolated activities. There must be management and command commitment to support the contract effort and to integrate the results into their problem solving requirements and into the overall study requirements of the organization.

Model
A representation of an object, process, or activity by symbols or procedures such that the important relations are amenable to analysis. The application of a model to a study includes preparation of input data and computer runs if necessary, technical analysis of output for system and data errors, and interpretation of output for study analysis. (Note: Not all study models are computerized.)

Professional staff year
A unit of measurement used to describe the level of effort of in-house Army (military and civilian) personnel in performing, supporting, and monitoring a study. A professional staff

year includes the normal duty hour services of one researcher or analyst, supported by a proportionate share of the management, clerical, and administrative personnel, use of ADPE, and appropriate overhead for 1 year.

Programmed study
A study submitted and approved as part of an agency or MACOM annual study program.

Sponsoring agency
The HQDA element, agency, FOA, or MACOM responsible for a study effort. Oversees study agency's work on the study and generally is responsible for implementation of study results.

Studies, analyses, and evaluations
Services that provide organized analytic assessments and evaluations in support of policy development, decision-making, management, or administration. Services include studies in support of R&D activities. Also includes models, methodologies, and related software supporting studies, analyses, or evaluations. Examples include, but are not limited to, cost benefit or effectiveness analyses of concepts, plans, tactics, forces, systems, policies, personnel management methods and programs; studies specifying the application of information technology and other information resources to support mission and objectives; technology assessments and management and operations research studies in support of RDT&E objectives; evaluations of foreign force and equipment capabilities, foreign threats, net assessments and geopolitical subjects; analyses of material, personnel, logistics and management systems; and environmental impact statements.

Study advisory group
An advisory group formed by a study sponsor. It consists of representatives from Army elements having a clear functional interest in the study topic or use of the study results. The SAG is to advise and assist the study sponsor on conduct of the study, and to provide assistance, coordination, and support to the study performing organization.

Study agency
The organization charged with conducting a study. It may be the sponsoring agency or MACOM, a contractor or consultant, an ad hoc group, or an Army study organization.

Study Program Coordinator
An individual designated by the head of an agency or MACOM to provide advice on all matters related to Army studies.

Study sponsor
The person who is responsible for a study. The study sponsor will validate the need for the study and provide management oversight of the study effort.

Sponsor's study director
The person appointed by the sponsor to ensure that the study objectives are met. The sponsor's study director represents the sponsor in establishing the requirement for the study, providing technical direction for the sponsor to the organization performing the study, and providing guidance to the SAG, COR, or contracting officer. This person may be the chairperson of the SAG. (See DA Pam 5-5).

Statement of Work (SOW)
The basic document that specifies the study work to be performed under a contract. The SOW is (a) prepared by the sponsor of a proposed study contract, (b) coordinated through appropriate agency approval channels, and (c) provided to the contracting officer representative who, in turn, forwards to the contracting officer for use in preparing the solicitation and resultant study contract.

Unprogrammed study
A study requirement initiated subsequent to approval of the annual study program.

Section III
Special Abbreviations and Terms
This publication uses the following abbreviations, brevity codes, and acronyms not contained in AR 310–50.

ABO
Army Budget Office

AIMSSS
Army Information on Models, Simulations, and Studies System

AORS
Army Operations Research Symposium

DAPP
DA Productivity Improvement Program

DLSIE
Defense Logistics Studies Information Exchange

FFRDC
Federally Funded Research and Development Center

MDD
management decision document

OCSA
Office of the Chief of Staff, Army

ODUSA(OR)
Office of the Deputy Under Secretary of the Army (Operations Research)

O&MA
Operation and Maintenance, Army

PSY
Professional Staff Year

R&D
Research and Development

SAE
studies, analyses, and evaluations

SPCC
Study Program Coordination Committee

SPG
Study Planning Guidance

SS
Study Sponsor

SSD
Sponsor's Study Director

SSDC
United States Army Space and Strategic Defense Command

TRAC
TRADOC Analysis Center

USAMISMA
United States Army Model Improvement and Study Management Agency

WInS
Work Unit Input System

WUIS
Work Unit Information System Worksheet

Index

This index is organized alphabetically by topic and subtopic. Topics and subtopics are identified by paragraph number.